

**USAID/ETHIOPIA**  
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## **Part III: Performance Narrative**

### **A. KEY PROGRAM ACHIEVEMENTS**

FY 2001 was the first year of implementation of USAID's Integrated Strategic Plan (ISP) for FY 2001-2006. Despite a heavy start-up burden, including the signing of six Strategic Objective Agreements, development and approval of Activity Approval Documents, and issuance of solicitations for new implementing instruments, there were a number of significant achievements.

- **Policy Breakthrough in Reducing Chronic Food Insecurity**

Food security is the most compelling problem facing Ethiopia today and as such, is the long-term goal for USAID's ISP. An overriding policy dialogue topic with the Government of the Federal Democratic Republic of Ethiopia (GFDRE) has been the need to differentiate between the types of food insecurity – transient (acute) and chronic – in order to provide the appropriate responses to the needs of different populations. As the largest donor of food and humanitarian assistance, USAID initiated and led the development of a dialogue agenda that highlighted obstacles to achieving food security and recommended improvements in food security policy and practice. The agenda gained the active support of the Prime Minister and, as of late CY 2001, the Government had implemented most of USAID/Ethiopia's recommendations: a portion of the annual food aid appeal will be set aside for a pilot effort to move chronically food insecure families along the relief-to-development continuum; food aid is now included in an annex to the national budget; the cabinet has been reorganized to include a focal point for food security (the new Ministry of Rural Development); and the Government's draft Poverty Reduction Strategy Program (PRSP) incorporates key food security policy agenda tenets.

- **Roll-Out of New Federal Budget on Schedule**

As part of Ethiopia's Civil Service Reform Program, USAID has provided technical assistance and training to improve federal and regional planning, budgeting, and accounting. In FY 2001, this assistance resulted in the operational rollout of budget reforms at the federal level, on schedule, under a new budget calendar that allowed, for the first time, parliamentary scrutiny prior to budget adoption. The accounting reforms enabled regions to significantly reduce their backlog of uncleared accounts significantly, thus empowering Regional Councils to provide greater budget oversight and combat corruption.

- **Local Resources Mobilized for Development**

USAID is helping Ethiopia's cooperative movement to shift to a democratic business-oriented system. In FY 2001, USAID's support led to the restructuring of 84 farmer cooperatives into viable businesses with democratically elected Boards of Directors. Overall, 3,500 USAID-mentored cooperatives paid more than \$722,500 in dividends to approximately 3.5 million members (11% women). Under the Community Schools Grants Program (CSGP) for basic education, 1,400 school communities raised approximately \$3.9 million to match USAID funds of \$2.4 million over the 1996-2001 period. These funds have provided libraries, boys' and girls' latrines, and other school improvements. The CSGP also significantly increased girls' retention in primary schools, as compared to national levels.

- **Post-Conflict Reintegration of 280,000 Ethiopians into Productive Lives**

During the three-year conflict between Ethiopia and Eritrea, more than 350,000 people were displaced, most in the Tigray region. By mid-2001, approximately 80% of these internally displaced persons (IDPs) had returned to their homes. USAID collaborated with partner NGOs to facilitate reintegration, providing \$3.8 million to help rehabilitate shelters and education and health facilities; distribute agricultural and household necessities (cooking utensils, farming tools); repair water and agricultural infrastructure; promote primary health care and HIV/AIDS prevention; support credit, savings, and income generation activities; and undertake landmine awareness campaigns.

- **Global Development Alliances Leveraged \$1.4 Million Across Agency Pillars**

In FY 2001, USAID-assisted agricultural cooperative unions in four regions achieved 100% repayment rates on loans from the private commercial Bank of Abyssinia. The Bank used this performance to support its request to double an existing Economic Growth, Agriculture and Trade (EGAT) Pillar Bureau Loan Portfolio Guarantee, from \$600,000 in FY 2000 to \$1.2 million in FY 2001. The combination of the cooperatives' strong performance plus the significant increase in private financing for agricultural cooperatives is a significant result contributing to both the Agency's *EGAT and GDA Pillar Objectives*.

USAID also formed an alliance that contributes to the Agency Democracy, Conflict and Humanitarian Assistance (DCHA) Pillar Objective 1, Rule of Law. Using \$150,000 in FY 2000 Education for Development and Democracy (EDDI) funds, in FY 2001 USAID signed an agreement to leverage an estimated \$200,000 from the University of Alabama to help establish a Faculty of Law at Mekelle University in Tigray region. The University of Alabama has posted a U.S. attorney/legal scholar to Mekelle for two years, begun a U.S. internship program for Ethiopian students, and is providing significant equipment and legal reference materials to the law school.

- **P.L. 480 Title II Program Records Significant Five Year Impact**

In FY 2001 USAID financed a final evaluation of its FY 1997-2001 Title II food program,<sup>1</sup> which covered activities of eight Title II partners in 17 rural zones, in all but two regions of the country, reaching about 430,000 people. The evaluation found significant achievements, among them: decreased stunting among children under five years of age from 61% in FY 1997 to 39.5% in FY 2001, significantly lower than the national average of 52% found in the 2000 Demographic and Health Survey (DHS); decreased length of time the households faced a food shortage, from 5.6 months in FY 1997 to 4.7 months in FY 2001; and an impressive contribution to maintaining the natural resource base through use of soil and moisture conservation measures.

## **B. CONTINUING CHALLENGES**

Ethiopia's widespread poverty and chronic food insecurity are inextricably linked, with recurring onsets of drought, conflict, famine, and/or disease frequently mitigating the positive impact of public and private sector investment. USAID's continued success with the food security dialogue mentioned above, combined with Government, civil society and donor collaboration on the PRSP, bodes well for increasing both focus and resources on the development end of the relief-to-development continuum. However, the success of both the food security and PRSP efforts depends on the continued forward momentum of the Government in its relatively new efforts at transparency and open consultation with both its own population and with donors. The risk remains that if rains fail and drought once again leads to an emergency situation, or if one of the potential sources of conflict becomes a crisis, the Government will revert to less collaborative governance and more donor (and food aid) dependency.

USAID's more direct challenge is to balance U.S. Government (USG) budget realities with its ISP objectives and targets, especially given the paucity of discretionary funding. In light of decreased funding levels for democracy and governance, the Mission will cease support to generic NGO strengthening at the end of FY 2002 and will focus its civil society strengthening support within other SOs. Judicial training will also be curtailed to ensure adequate resources are available to complete budget reforms. The Mission is working with P.L. 480 Title II partners to better integrate food aid resources to help achieve ISP objectives. Additional agriculture and economic growth funding would permit matching dollars with food resources to leverage more significant results.

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<sup>1</sup> Development Studies Association, Title II Project Final Evaluation, Final Report (Volume I), Addis Ababa, December 2001. The Title II development program covered a total of 736,000 beneficiaries in 22 zones; the 430,000 population in 17 zones that was studied in the Evaluation is considered representative of the total.

## C. PROGRAM PERFORMANCE

### 663-007 Rural Household Production and Productivity Increased

The SO 7 program focuses on improving rural household food security in Ethiopia, and in Amhara region in particular, and supports implementation of the GFDRE's National Food Security Strategy and Program. It includes five components: increasing food, livestock and factor market integration; increasing agricultural input and output market competition; increasing/diversifying rural household income; strengthening food, agriculture and environmental research systems; and improving food, agricultural and environmental technology dissemination. The program is funded primarily from DA resources. In FY 2001 USAID obligated modest CSD HIV/AIDS funding for social marketing and HIV/AIDS awareness and prevention programs by agricultural cooperatives and extension agents. FY 2001 SO 7 beneficiaries included approximately 3.5 million members of agricultural cooperatives in four regions and their families, and almost 2,800 households engaged in sustainable agricultural development in four districts.

This SO met or exceeded most targets for FY 2001 and is considered on track. The target for volume of grain marketed through USAID-mentored cooperatives was not met due to low market prices. However, the cooperatives' targets for coffee exported directly, volume of fertilizer, seeds, herbicides and pesticides marketed and dividends paid to individual members were exceeded, indicating that the cooperatives have managed well in spite of grain marketing setbacks.

The impressive performance of cooperative development activities was a significant result contributing to *EGAT Objective 1, Critical private markets expanded and strengthened*. USAID's partner, Agricultural Cooperative Development International/Volunteers for Overseas Cooperation and Assistance (ACDI/VOCA), has assisted in restructuring individual cooperatives into democratic business-oriented ventures, and in the formation of cooperative unions that take advantage of economies of scale for input purchase and crop marketing. Due to such assistance, the volume of inputs marketed through cooperatives increased from 67,766 metric tons (MT) in FY 2000 to 78,592 MT in FY 2001. However, the volume of grain marketed through cooperatives was disappointing, falling from 27,360 MT in FY 2000 to 17,903 MT in FY 2001, due to tight markets. In contrast, the volume of coffee exported directly by cooperatives exceeded targets. Overall, the value of dividends paid to individual cooperative members increased from \$10,000 in local currency equivalent in FY 1999 to \$722,500 equivalent in FY 2001, exceeding targets by 80%.

USAID's P.L. 480 Title II partners achieved significant results that contribute to *EGAT Objective 2, More rapid and enhanced agricultural development and food security encouraged*. In FY 2001, three Title II partners rehabilitated over 23,400 hectares of degraded land through community participation. The FY 1997 - 2001 Evaluation concluded: "The most visible strength of Title II projects (in most areas) is the contribution they are making to the natural resource base."<sup>2</sup>

The SO 7 program achieved significant results that contribute to *EGAT Objective 3, Access to economic opportunity for the rural and urban poor expanded and made more equitable*. Based on the solid performance of the agricultural cooperative unions in FY 2001 (100% repayment rates), the Bank of Abyssinia doubled its line of credit to \$1.2 million under a 50% EGAT Loan Portfolio Program Guarantee. USAID's partner ACDI/VOCA also helped the regional Cooperative Promotion Bureaus promote and establish 13 rural savings and credit cooperatives to provide rural financial services to an initial 1,240 members (13% women). In addition, USAID financed the development and piloting of a management information system for the Amhara Credit and Savings Institution, the largest provider of rural financial services in the Amhara region with almost 200,000 clients (40% women) and a loan portfolio of over \$10 million. A computerized system replaced the manual one, and will enable the institution to significantly reduce administrative costs and provide more efficient services to clients. USAID also supported the development of an automated business licensing system for the Ministry of Trade and Industry that was successfully tested and will be expanded to other major urban areas in Ethiopia. This is expected to speed up the issuance of licenses and permits and generally expedite business operations.

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<sup>2</sup> Title II Evaluation text from paragraph 5.2.8. p. 164.

USAID was instrumental in mobilizing donor support for Ethiopia's first National Agricultural Census (NAC). When completed in FY 2002, the NAC will provide the most reliable crop and livestock production estimates ever available on Ethiopia's agricultural sector at the district level. The NAC was launched in September 2001 and data collection efforts are underway. NAC results are expected in CY 2002, and significant findings will be summarized in next year's Annual Report.

### **663-008 Improved Family Health**

From 1994 to 2000, USAID collaborated with other donors and NGOs to assist the GFDRE to implement its Health Sector Development Program. Key achievements of that collaboration include: increased number of health sector professionals trained, increased government budget allocations for a quality-enhanced health sector, improved contraceptive prevalence rates, the adoption of a national HIV/AIDS policy, and implementation of polio eradication initiatives.

The new SO 8 will continue to address fundamental problems facing the health sector related to child survival (including nutrition), infectious diseases (malaria and tuberculosis), family planning and reproductive health, HIV/AIDS, and health care reform. Integrated health activities are focused in ten zones in the Amhara, Oromiya, and Southern Nations, Nationalities, and Peoples (SNNP) regions. Reproductive health and HIV/AIDS activities are undertaken in all urban and peri-urban areas nationwide, covering approximately four million people. In addition, USAID is financing HIV/AIDS activities along the Ethiopia-Djibouti transport corridor. Certain child survival activities, notably polio eradication activities and Vitamin A promotion, are undertaken nationwide.

The SO 8 program met or exceeded targets for FY 2001 and is on track. A peer-reviewed Pathfinder International study<sup>3</sup> in FY 2001 showed nearly a 38% Contraceptive Prevalence Rate (CPR) for modern methods in the USAID focus areas, as compared with 6.3% CPR for modern methods nationally (2000 DHS). Five-hundred-thousand persons used family planning services, of which over 95,000 were new acceptors. USAID's social marketing program sold over 1.2 million cycles of oral contraceptives and nearly 54 million condoms. These significant results contribute to Agency *Global Health Objective 1, Reducing the number of unintended pregnancies*.

The SO 8 program also achieved a significant result contributing to Agency *Global Health Objective 2, Reducing infant and child mortality*. Almost 14 million children were vaccinated against polio in the FY 2001 national polio campaign as compared to 11 million in FY 2000, with a USG contribution of approximately 50% to the campaign cost. USAID's NGO partners (funded through the Bureau for Global Health's CORE activity) contributed to this impressive growth in coverage through social mobilization efforts. Importantly, the wild polio transmission rates have dropped to only one case in CY 2001. The CY 2001 non-polio acute flaccid paralysis rate was 1.61 per 100,000 children aged less than 15 years. These data demonstrate that Ethiopia is on track for eradicating polio in the foreseeable future.

The eight P.L. 480 Title II partners also achieved a significant result that contributes to *Global Health Objective 2*. As mentioned earlier, the FY 2001 Title II Project Final Evaluation found that among the population studied, the proportion of children under five years of age who were stunted decreased from 61.1% in FY 1997 to 39.5% in FY 2001, as compared to a national average of 52% (2000 DHS). The prevalence of diarrhea and underweight children also decreased to less than national averages. USAID's FY 2001-2002 plans to provide CSD funding to integrate Title II activities should enable the partners to continue to improve child nutritional status in the future.

Achievements in early childhood immunization coverage in an USAID-funded pilot activity in ten districts formed the basis of the GFDRE's successful application for FY 2001 Global Alliance for Vaccines and Immunization (GAVI) funds. Similarly, USAID's on-going support to the local NGO *Dink Kistet Letena* (DKT) International for contraceptive social marketing provided the leverage for a successful DKT

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<sup>3</sup> "Rapid Assessment of Partner Projects," Pathfinder International/Ethiopia, September 2001.

partnership with the Gates Foundation to socially market oral rehydration salts. These partnerships should yield significant results in reduced early childhood morbidity in coming years.

In FY 2001, USAID financed distribution of Vitamin A supplements to over 500,000 children in 10 focus districts. With the assistance of the Bureau for Global Health's MOST activity, USAID is pursuing discussions with the GFDRE and UNICEF on fortification and supplementation of Vitamin A. In FY 2002, USAID will commence support to Directly Observed Treatment (DOTS) of TB through strengthening laboratories and capacity building at the facility level in three focus regions. Also in FY 2002, USAID will initiate support to improving malaria case management and community vector control in three focus regions. In terms of other infectious diseases (i.e., meningitis), USAID will support improving the surveillance system and overall capacity building, with particular attention to improving epidemic response in SNNP and Oromiya regions.

The high level of condoms sold under the contraceptive social marketing activity mentioned above is a significant result contributing to Agency *Global Health Objective 4, Reducing the HIV transmission rate*. USAID's activities contributed to Ethiopia exceeding planned targets on the HIV/AIDS Policy Environment Score in FY 2001. USAID's continued support to the capacity development of the National Aids Secretariat has led to greater rigor in program management and coordination. USAID leads the GFDRE and donors in monitoring and evaluation for HIV/AIDS and has been asked by the National Aids Secretariat to lead the national HIV/AIDS monitoring program. In CY 2001, USAID assisted the Ministry of Health with its third round of HIV prevalence data collection from antenatal surveillance sites, with results expected in March 2002. USAID is funding a Behavioral Surveillance Survey (BSS), the results of which will be available in early CY 2002. These results will determine the SO 8 targets for the ISP period and permit accurate reporting on condom use. In the future, USAID will assess the AIDS Program Effort Index (API) in alternate years to the BSS. UNAIDS, USAID and the Global Health POLICY Project have collaborated to develop the API rating system. This measures program effort independent of program outputs, and includes items such as degree of political support, amount of participation, etc., by national programs and international agencies.

Using Displaced Children's and Orphan Funds, USAID provided capacity building and other assistance to 25 local NGOs to help over 21,000 vulnerable children (46% female) affected by AIDS. Activities included non-formal education, income generation for at-risk families, family re-unification for institutionalized children, and job skills training for street children.

Chronic under-funding of the health sector by the GFDRE has been one of the underlying problems limiting quality of and access to health services in Ethiopia. In FY 2001, USAID financed three major workshops (health insurance, public-private sector collaboration, and cost recovery) on alternative financing mechanisms. USAID was also active in drafting the proclamation for the establishment of a Health Fund, that, when ratified by the Council of Ministers, will permit fee retention at the facility level. USAID's collaboration with the GFDRE and other donors in health care reform is supporting a "Special Pharmacy" initiative to position essential drugs at 150 facilities nationwide. If successful, the GFDRE will scale up the initiative to all eligible health facilities, greatly increasing access to this key component of health services. To support efforts in health systems management and quality of care, USAID financed integrated refresher training of 606 frontline workers (139 women) and provided equipment and training in the Health Management Information System to all 40 district health offices in six focus zones.

### **663-009 Quality and Equity in Primary Education System Enhanced**

USAID is the second largest donor to Ethiopia's Education Sector Development Program, or ESDP, and chairs the donor coordination steering committee. USAID's contribution to the ESDP began in 1994 and achieved significant results under the FY 1995-2000 Country Strategic Plan. The Basic Education program in the FY 2001-2006 ISP builds on earlier results and lessons learned. The new program expands geographically from two regions to national coverage, but narrows USAID's focus to two key elements of the educational system: teacher professional development and the primary school environment (e.g. technology, materials, school management).

The beneficiaries of the basic education program over the FY 2001-2006 ISP period are approximately 40,000 new teachers who will graduate from improved teacher training institutions nationwide; 50,000 existing teachers and/or principals who will receive skills upgrading through in-service training programs; 5,000 school committees (covering about 40% of the nation's schools) which will participate in school improvement activities in partnership with Government; over 3,000 educational planners, supervisors, and curriculum specialists, who will be trained; and thousands of disadvantaged children, especially girls, who will have new access to flexible schooling options.

The program met FY 2001 targets and is considered on track. On the equity side, USAID-supported efforts at the community level to help girls stay in and succeed at school have raised participation of girls in the USAID focus regions to 73.9% in Tigray and 48.1% in SNNP in the 2000-2001 school year, up from 38% and 17% respectively in the baseline 1994-1995 school year. These levels exceed the national average (47%) and are a significant result with regard to the Agency's *EGAT Objective 4, Access to quality basic education for under-served populations, especially for girls and women, expanded*.

On the quality side, the repetition rate for girls in grade four was 11% in the 2000-2001 school year. However, 60% of the USAID-supported schools in the Community Schools Grants Program (CGSP) in the SNNP region and 80% in the Tigray region reduced the female repetition rate below the national average. (The CGSP covers 720 of the 2,305 schools in the SNNP region and 700 of the 888 schools in Tigray.) While this is an impressive result for the schools participating in the CGSP, the issue of educational quality remains a thorny one for Ethiopia. To scale up of earlier successes, USAID has awarded new agreements to expand the CGSP approach to about 40% of primary schools in eight regions over the ISP period.

USAID has supported pre-service teacher training since 1994. In FY 2001, with USAID support, all 19 of Ethiopia's teacher training institutions established and equipped Staff Development Units with computers and audio-visual equipment and have begun organizing staff development activities. The most critical shortage in these institutions has historically been reference materials. USAID has now provided the teacher training institutions with up to date reference materials, including CD-ROMs, and essential textbooks.

USAID has supported in-service teacher professional development since 1996 in the Tigray and SNNP focus regions, successfully piloting a cluster school approach that is now being adopted nationally with continued USAID support. A cluster school comprises a Resource Center used by teachers from three-to-six nearby schools, and the cluster serves as an organizing basis for teacher and community training, communication and collaboration. In Tigray region, as of the end of FY 2001 the cluster program comprised 488 schools (54% of schools in Tigray) and in SNNP there were 77 clusters with 181 schools (8% of schools in the SNNP region).

USAID is also supporting the upgrading of 21,400 primary school teachers (15.9% female) to diploma level through distance education. Tutorial centers oversee the program from teacher training institutions throughout the country; diplomas will be bestowed on successful candidates during CY 2002. USAID has also supported a distance education Masters of Education program through Addis Ababa University, the first of its kind in Ethiopia. In FY 2001 the first 36 candidates (three women) graduated with educational management and curriculum development majors. In 2002 and 2003 an additional 74 candidates (four women) are expected to graduate and join the ranks of leadership at the national and regional levels.

Ethiopia is considered to have one of the best radio education systems in Africa, although many of the radio modules utilize ineffective passive-learning methods. USAID has supported development of interactive radio instruction (IRI) modules for selected subjects in the Tigray region, and development and testing of curriculum, materials and broadcasts for teaching the English language in grades one and two for eventual national use. In FY 2001, formative and summative evaluations of the English language pilot test in grade one found a 22.4 point difference between the pre- and post-tests for the IRI groups as compared to only a 9.8 point difference between the pre- and post-tests for students not benefiting from IRI. USAID will support further expansion of IRI in future years.



Earlier USAID investments in improving planning, policy and decentralized management were taken to the most basic level, the district, in 2001 with impressive results. The pilot efforts in Tigray region demonstrated that participation of the lowest administrative levels promotes accountability and responsiveness.

### **663-010 More Effective Governance and Civil Society Developed**

USAID Ethiopia's democracy and governance program began in FY 1992, shortly after the 1991 downfall of the Derg, with initial support for a broad range of needs of the emerging democracy, including assistance to elections, human rights, judiciary, constitutional reform, media and regionalization. In FY 1997, USAID decided to focus its resources on three key areas of comparative advantage and potential for high impact: using public financial resources more effectively through support to the Expenditure Management and Control subprogram of the Government's Civil Service Reform Program; strengthening the judiciary through training and provision of legal resource materials; and increasing participation in civil society. The program combines DA and CSD funding. CSD resources provide for training to regional education and health personnel in the new planning and budgeting systems essential to the success of USAID's education and health programs. CSD funds are also used for civil society capacity building and service delivery in population, HIV/AIDS, and support to vulnerable children, including AIDS orphans.

Overall, the program met its targets for 2001, overcoming delays to implementing judicial training that had caused it not to meet those targets in 2000. In so doing, it achieved *significant results* that contribute to the Agency's Democracy, Conflict and Humanitarian Assistance (DCHA) Pillar Objectives. The most significant of these were results related to *DCHA Objective 4, More transparent and accountable government institutions encouraged*. As summarized above, during 2001 USAID-supported activities under its Decentralization Support Activity (DSA) resulted in the operational rollout of budget reforms at the federal level on schedule. The new budget system employed a revised chart of accounts and a new computerized Budget Information System. USAID supported the training of 1,736 accountants (644, or 37.1%, women) in the revised accounting system, in line with the Civil Service Reform Program. These activities contribute to better accountability, transparency and efficiency in the use of both Ethiopian and donor funds. Also in FY 2001, the USAID-financed accounting reforms led to reduction in the backlog of uncleared accounts to zero in three regions.

The judicial strengthening component activities of SO 10 contribute to achievement of *DCHA Objective 1, Rule of law and respect for human rights of women as well as men strengthened*. During FY 2001 USAID supported targeted professional training of 672<sup>4</sup> federal and regional judges (46, or 6.8%, women) in Addis Ababa and the regions. Additionally, many laws in Ethiopia had long been out of print, making it difficult for judges – even when trained – to render legal decisions. USAID helped remedy this situation by financing the reprinting of the *Negarit Gazette* (where Ethiopian laws and proclamations are promulgated) for the years 1942 through 1999, and distributing the 12 volumes to all High and Supreme Courts at the regional and federal levels. USAID similarly financed reprinting and distribution of the Penal Code, Penal Procedure Code, Civil Code, Civil Procedure Code, Revised Family Code and Commercial Code. Ethiopian federal and regional judges are now better trained and better supplied with the legal resources necessary for them to render judgements in accordance with the rule of law.

USAID's crosscutting civil society strengthening activity remained on track. In 2001, more than 50 of Ethiopia's estimated 350-400 NGOs – or about 15% -- benefited from capacity building activities. Fourteen NGOs put strategic plans in place, nine installed financial management systems, and 54 undertook advanced training in accounting. An important focus at the beginning of USAID's work in this area had been improving the enabling environment within which civil society organizations function in Ethiopia. During 2001, NGO registration and re-registration continued with only one well-publicized hindrance.<sup>5</sup> At an NGO Day co-sponsored by USAID's implementing partner, Pact, late in the year, Government officials committed themselves to growing cooperation with NGOs. However, a continuing

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<sup>4</sup> This figure is a revised count from the "more than 800" referred to in Section II (and the CBJ submission, Program Data Sheet for SO 663-010).

<sup>5</sup> The Ethiopian Women's Lawyers Association had its registration temporarily suspended.

challenge is to assure that civil society is consulted prior to enactment of the draft NGO legislation under consideration.

### **663-011 Mitigate Effects of Disaster**

The Mitigate Effects of Disaster (MED) program is funded with CSD, DA, Office of Foreign Disaster Assistance (OFDA), and P.L. 480 Title II development and emergency resources, and focuses on the following results: improve early warning and emergency response capacity at federal and regional levels; decrease the vulnerability and improve the nutritional status of children and at-risk persons in target areas; and restore socioeconomic institutions in the Ethiopia-Eritrean border region, minimizing the potential for further conflict.

Beneficiaries of the Title II development and emergency food programs in FY 2001 included approximately 736,000 persons in 22 food insecure zones in nine regions. Beneficiaries of the FY 2001 humanitarian assistance program included 6.2 million drought-affected persons. Beneficiaries of the northern border development program included about 80% – or 280,000 – of the 350,000 IDPs in Tigray region and 144,800 Sudanese, Somali, and Eritrean refugees in selected areas of the country. (See comments on data quality on Table 1 in Section IV.)

The program is on track. At the SO level, among 78,100 rural households studied, the eight Title II partners reduced stunting from 61% in FY 1997 to 39.5% in FY 2001, an impressive result when compared to the 2000 DHS national rate of 52%. They also decreased the number of months when households do not have sufficient food to eat from 5.6 months in FY 1997 to 4.7 months in FY 2001; this was above the target of four months, but still an encouraging trend. The partners exceeded all other targets except for the proportion of children less than 60 months who are fully immunized. The actual achievement of 53.3% did not meet the target of 60%, but still represents a major gain against the FY 1996 baseline of 26.6%.

The Title II development activities are integrated with USAID's programs in health, education and agriculture in Ethiopia, and selected impressive sector-specific contributions have been cited in the discussions of those programs above. USAID's FY 2001-2002 program to integrate Title II resources with CSD/CSH and DA funds will enable the partners to build on this forward momentum in the coming years.

The program achieved significant results that contribute to Agency *DCHA Objective 6, Humanitarian assistance following natural or other disasters*. In FY 2001, USAID provided almost 300,000 MT of Title II food, or 70% of total requirements, to meet critical needs of 6.2 million drought-affected persons. USAID was also the lead agency in donor coordination to meet emergency needs, assuring that food commodities were targeted appropriately. Without the USAID assistance, several hundred thousand lives would have been lost in Somali region and several million more people would have depleted productive assets and become destitute. The food commodities were distributed by five Title II partners and the World Food Program through food-for-work and supplementary feeding programs that fostered community participation.

To complement the Title II humanitarian assistance in FY 2001, DCHA/OFDA provided \$3,805,505 in non-food assistance to Ethiopia through five NGOs, the World Food Program, the Food and Agriculture Organization, and the United Nations Office on Coordination of Humanitarian Affairs for activities in health, nutrition, potable water, sanitation, animal health, early warning, and an emergency air bridge. Activity locations were primarily in Somali and Oromiya Regions.

As described in Section A above, the program also achieved a significant result that contributes to the Agency *DCHA Objective 5, Conflict*, through helping approximately 280,000 IDPs return to their homes and to resume productive lives as part of USAID's assistance along the northern border with Eritrea. Of lesser significance, but still important to the U.S. Mission's post-conflict efforts, the USG provided 21,300 MT of food aid through the World Food Program to assist 66,900 Somali, 73,688 Sudanese, and 4,212 Eritrean refugees in camps in Ethiopia.

### **663-012 Improved Livelihoods for Pastoralists and Agro-Pastoralists in Southern Ethiopia**

Pastoralist areas remain among the least developed parts of Ethiopia, and are considered to have high potential for conflict over natural resource control. USAID has established a Special Objective (SpO) to test some activities to improve the livelihoods of pastoralists in selected zones on Ethiopia's southeastern borders with Kenya and Somalia, collectively called "the Southern Tier." The SpO emphasizes pilot activities in border areas to increase incomes, improve access to primary health care and basic education, and enhance the effectiveness of traditional dispute resolution mechanisms for pastoralists and agro-pastoralists. It is funded with DA and CSD funds.

During FY 2001, selected pilot activities supporting animal health, flexible education, risk management and conflict resolution performed well and the SpO is on track. Local authorities established an association responsible for coordinating and improving livestock health care in the Somali region. The association trained 39 community animal health workers who are now operating as fee-based service providers in their communities. The workers have vaccinated over 314,000 animals and treated almost 27,000 animals for disease. Community animal health workers offer animal health-care services for a small fee and have found livestock owners willing and able to pay for their services, even in low-income areas. These workers can generate sufficient income to provide for their own needs, thereby making animal health care available for pastoralists on a sustainable basis. The Ethiopian Livestock Marketing Authority has completed the design of a livestock market price information and dissemination system focused on the Southern Tier area.

An USAID-funded pastoral risk management project is working with local communities to improve access to savings and credit institutions. In FY 2001, this project organized 16 savings and credit groups with a total membership of 303 (70 men and 233 women). The groups' total savings reached US\$2,809 in five months. The ultimate goal of this activity is to capture wealth otherwise lost in livestock deaths and convert it into investment capital for locally identified development projects. In FY 2001, 110 pastoralists in Ethiopia were also trained to increase their awareness of cross-border pastoralist issues, including drought, marketing, animal health, and peace building between Ethiopians and Kenyans. Fifteen pastoralist women visited five communities in northern Kenya, which was the first cross-border pastoralist women's tour. This exposure has resulted in community-based projects such as vegetable garden schemes, establishment of petty trade, and construction of community halls.

Two non-formal education centers, built by the community, opened their doors reaching 116 students (72 males and 44 females) and 224 adults. Lessons are given in three shifts and school attendance is encouraging. In CY 2001, teachers were trained and resources provided to upgrade eight permanent schools and seven mobile schools to help meet primary school equivalencies. Many of these schools are linked with Koranic schools, thus maximizing enrollment and retention rates. Overall enrollment is 756, with 202 girls (27%) in a very remote and difficult area. The project also conducted training for teachers and volunteer teachers' aides. In CY 2002, USAID is funding the testing of interactive radio education in Somali language to complement these and other efforts.

**Table 1: Annual Report Selected Performance Measures**

| Indicator (all data should pertain to FY or CY 01)   |   | OU Response  |     |         | Fund Account | Data Quality Factors  |
|--|---|--|-----|---------|--------------|---|
| Pillar I: Global Development Alliance: GDA serves as a catalyst to mobilize the ideas, efforts, and resources of the public sector, corporate America and non-governmental organizations in support of shared objectives   |   |  |     |         |              |   |
| 1  | Did your operating unit achieve a significant result working in alliance with the public sector or NGOs?                            | Yes<br>X   | No  | N/A     | DA           | Bank of Abyssinia & Agricultural Cooperative Development International/Volunteers for Overseas Cooperation and Assistance (ACDI/VOCA) achieved significant results with loans to agricultural cooperative unions; data are reliable. The original agreement was signed in December 1999 (FY 2000) and increased in FY 2001. Other alliances were in start-up mode in FY 2001. |
| 2  | a. How many alliances did you implement in 2001? (list partners)<br><br>b. How many alliances do you plan to implement in FY 2002?  | 1) Bank of Abyssinia & ACDI/VOCA; 2) University of Alabama & Mekelle University<br><br>3 |     |         | DA<br><br>DA | Two existing plus one new alliance between U.S. University consortium and Ethiopian teacher training institutions.  |
| 3  | What amount of funds has been leveraged by the alliances in relationship to USAID's contribution?                                   | \$1.2 + \$.2 = \$1.4 million   |     |         |              |   |
| Pillar II: Economic Growth, Agriculture and Trade: USAID works to improve country economic performance using five approaches: (1) liberalizing markets, (2) improving agriculture, (3) supporting microenterprise, (4) ensuring primary education, and (5) protecting the environment and improving energy efficiency. |   |  |     |         |              |   |
| 4  | If you have a Strategic Objective or Objectives linked to the EGAT pillar, did it/they exceed, meet, or not meet its/their targets? | Exceed   | Met | Not Met |              |   |
|  | 663-007 Rural Household Production and Productivity Increased   |  | X   |         | DA           |   |
|  | 663-009 Quality and Equity in Primary Education System Increased  |  | X   |         | CSD          |   |
| USAID Objective 1: Critical, private markets expanded and strengthened   |   |  |     |         |              |   |
| 5  | Did your program achieve a significant result in the past year that is likely to contribute to this objective?                      | Yes<br>X   | No  | N/A     | DA           | Significant results generated by ACDI/VOCA with agricultural cooperatives in Amhara, Oromiya, Tigray, and Southern Nations, Nationalities and Peoples (SNNP) regions, cooperative reporting audited by GOE and spot-checked by ACDI/VOCA and USAID, reliable.   |
| USAID Objective 2: More rapid and enhanced agricultural development and food security encouraged   |   |  |     |         |              |   |
| 6  | Did your program achieve a significant result in the past year that is likely to contribute to this objective?                      | Yes<br>X   | No  | N/A     | DA           | Significant results were generated Title II sponsors in target areas, reporting methods validated by independent 2001 evaluation, reviewed by DCHA FANTA project, and spot-checked by USAID, reliable.  |
| USAID Objective 3: Access to economic opportunity for the rural and urban poor expanded and made more equitable  |   |  |     |         |              |   |
| 7  | Did your program achieve a significant result in the past year that is likely to contribute to this objective?                      | Yes<br>X   | No  | N/A     | DA           | Significant result was Bank of Abyssinia expansion of credit line to \$1.2 million to support agricultural cooperative unions in Amhara, Oromiya, Tigray, and SNNP regions, Bank reporting audited by GOE and spot-checked by ACDI/VOCA and USAID, reliable.  |

| Indicator (all data should pertain to FY or CY 01)   |  | OU Response       |                   | Fund Account       | Data Quality Factors |   |
|--|--|-------------------|-------------------|--------------------|----------------------|---|
| USAID Objective 4: Access to quality basic education for under-served populations, especially for girls and women, expanded  |  |                   |                   |                    |                      |   |
| 8  | Did your program achieve a significant result in the past year that is likely to contribute to this objective?                               | Yes<br>X          | No                | N/A                | CSD                  | Significant result was girls gross enrollment rate in Tigray and SNNP focus regions. Data from the "Education Statistics Abstract" August 2001, generated through USAID-assisted Education Management Information System (EMIS), reliable.  |
| 9  | a. Number of children enrolled in primary schools affected by USAID basic education programs (2001 actual)                                   | Boys<br>1,327,136 | Female<br>853,974 | Total<br>2,181,110 |                      | 2001: All children enrolled (i.e. 100% enrollment) in Grades 1-8, government and non-government schools, in Tigray and SNNP focus regions, 2000/2001. Data from USAID-assisted GOE EMIS "Education Statistics Abstract" August 2001, Reliable. Plus 756 children enrolled in USAID-assisted pastorlist schools in Somali region. Data from SAVE-US, reliable.   |
|  | b. Number of children enrolled in primary schools affected by USAID basic education programs (2002 target)                                   | 798,711           | 586,794           | 1,385,505          |                      | 2002: One year decrease in coverage due to change in prime contractor during FY 2002 should rebound in 2003. 2002 target is: all children enrolled (i.e. 100% enrollment) in Grades 1-8, government and non-government schools, in Tigray region PLUS all children enrolled in Grades 1-8, government and non-government schools, in 20% of schools in SNNP region and 10% of schools in Amhara and Oromia regions (i.e. % of projected gross enrollment) PLUS all children participating in Community-Government Partnership Program (CGPP) and Southern Tier Initiative (STI) education activities in Somali region. Projections based on data in EMIS "Education Statistics Abstract" August 2001, and CGPP and STI partners' plans, reliable. |
| USAID Objective 5: World's environment protected   |  |                   |                   |                    |                      |   |
| 10   | Did your program achieve a significant result in the past year that is likely to contribute to this objective?                               | Yes               | No                | N/A<br>X           |                      |   |
| 11   | a. Hectares under Approved Management Plans (2001 actual)  |                   |                   |                    |                      |   |
|  | b. Hectares under Approved Management Plans (2002 target)  |                   |                   |                    |                      |   |
| Pillar III: Global Health: USAID works to: (1) stabilize population, (2) improve child health, (3) improve maternal health, (4) address the HIV/AIDS epidemic, and (5) reduce the threat of other infectious diseases. |  |                   |                   |                    |                      |   |
| 12   | If you have a Strategic Objective or Objectives linked to the Global Health pillar, did it/they exceed, meet, or not meet its/their targets? | Exceed            | Met               | Not Met            |                      |   |
|  | 663-008 Improved Family Health   |                   | X                 |                    | CSD                  |   |
| USAID Objective 1: Reducing the number of unintended pregnancies   |  |                   |                   |                    |                      |   |
| 13   | Did your program achieve a significant result in the past year that is likely to contribute to this objective?                               | Yes<br>X          | No                | N/A                | CSD                  | Significant results in contraceptive prevalence rate from peer-reviewed "Rapid Assessment of Partner Projects," September 2001, Pathfinder International/Ethiopia, for USAID focus areas. Data on socially marketed contraceptives from DKT International, reliable.  |
| USAID Objective 2: Reducing infant and child mortality   |  |                   |                   |                    |                      |   |
| 14   | Did your program achieve a significant result in the past year that is likely to contribute to this objective?                               | Yes<br>X          | No                | N/A                | CSD                  | Significant results in polio vaccination coverage and monitoring based on national level polio data from WHO report for 2001, reliable. Significant results in decreased stunting through Title II programs in 17 food insecure zones in 6 regions based on 2001 independent evaluation of Title II sponsors' programs that was reviewed by DCHA FANTA project, reliable.   |

| Indicator (all data should pertain to FY or CY 01)  |  | OU Response |         | Fund Account | Data Quality Factors |   |
|---|--|-------------|---------|--------------|----------------------|---|
| USAID Objective 3: Reducing deaths and adverse health outcomes to women as a result of pregnancy and childbirth   |  |             |         |              |                      |   |
| 15  | Did your program achieve a significant result in the past year that is likely to contribute to this objective?   | Yes         | No<br>X | N/A          | CSD                  | National level data from DHS, 2000 (available in 2001), reliable. Mission is working on Post Abortion Care and will address quality maternal health and nutrition in the next strategic plan.   |
| USAID Objective 4: Reducing the HIV transmission rate and the impact of HIV/AIDS pandemic in developing countries |  |             |         |              |                      |   |
| 16  | Did your program achieve a significant result in the past year that is likely to contribute to this objective?   | Yes<br>X    | No      | N/A          | CSD                  | Significant results in condoms socially marketed from DKT International for USAID focus areas. Significant result for Policy Evaluation Score based on USAID 2001 assessment, valid.  |
| USAID Objective 5: Reducing the threat of infectious diseases of major public health importance                   |  |             |         |              |                      |   |
| 17  | Did your program achieve a significant result in the past year that is likely to contribute to this objective?   | Yes         | No<br>X | N/A          | CSD                  | USAID assistance to tuberculosis (TB) campaign will commence in FY 2002, although curriculum development and training of health facility management is currently carried out through a grant to the Carter Center.  |
| Pillar IV: Democracy, Conflict and Humanitarian Assistance  |  |             |         |              |                      |   |
| 18  | If you have a Strategic Objective or Objectives linked to the Democracy, Conflict and Humanitarian Assistance Pillar, did it/they exceed, meet, or not meet its/their targets? | Exceed      | Met     | Not Met      |                      |   |
|   | 663-010 More Effective Governance and Civil Society Developed  |             | X       |              | DA, CSD              |   |
|   | 663-011 Mitigate the Effects of Disaster   |             | X       |              | DA, CSD              |   |
|   | 663-012 Improved Livelihoods for Pastoralists and Agro-Pastoralists in Southern Ethiopia (Southern Tier Initiative)  |             | X       |              | DA, CSD              |   |
| USAID Objective 1: Rule of law and respect for human rights of women as well as men strengthened                  |  |             |         |              |                      |   |
| 19  | Did your program achieve a significant result in the past year that is likely to contribute to this objective?   | Yes         | No<br>X | N/A          | DA                   | National level judicial strengthening achieve important measurable outputs that may yield significant results in future years, USAID monitoring, reliable.  |
| USAID Objective 2: Credible and competitive political processes encouraged  |  |             |         |              |                      |   |
| 20  | Did your program achieve a significant result in the past year that is likely to contribute to this objective?   | Yes         | No      | N/A<br>X     |                      |   |
| USAID Objective 3: The development of politically active civil society promoted                                   |  |             |         |              |                      |   |
| 21  | Did your program achieve a significant result in the past year that is likely to contribute to this objective?   | Yes         | No<br>X | N/A          | DA, CSD              | National level for civil society activity, USAID monitoring, reliable.  |
| USAID Objective 4: More transparent and accountable government institutions encouraged                            |  |             |         |              |                      |   |
| 22  | Did your program achieve a significant result in the past year that is likely to contribute to this objective?   | Yes<br>X    | No      | N/A          | DA, CSD              | Significant result in roll-out of new federal budget on schedule and in reducing accounts backlog in regions. Data for Decentralization Support Activity, 2001. Training data and data on regional-level backlogs reliable. Data on national-level accounts' backlogs incomplete, e.g. Ministry of Defense. |

| Indicator (all data should pertain to FY or CY 01)                              |   | OU Response   |         |   | Fund Account                             | Data Quality Factors  |
|---|---|---|---------|---|--|---|
| USAID Objective 5: Conflict   |   |   |         |   |  |   |
| 23  | Did your program in a pre-conflict situation achieve a significant result in the past year that is likely to contribute to this objective?  | Yes   | No<br>X | N/A   | DA, CSD                                  | "Southern Tier Initiative" Special Objective (SpO) 663-012 is working in conflict-prone pastoralist areas along southern border with Kenya and Somalia. New SpO start-up in FY 2001, significant results not expected until at least 2002.  |
| 24  | Did your program in a post-conflict situation achieve a significant result in the past year that is likely to contribute to this objective? | Yes<br>X  | No      | N/A   | DA, CSD                                  | Significant results in assistance to 280,000 IDPs, ref. Item 25 below for data quality.   |
| 25  | Number of refugees and internally displaced persons assisted by USAID   | Male  | Female  | Total<br>280,000<br>IDPs +<br>144,800<br>refugees | DA, CSD                                  | Data on IDPs from USG reporting on northern border with Eritrea, 2001. Data represent USG compilation of best estimates of United Nations peacekeepers, NGO partners, GOE and humanitarian agencies working in border zone. Data on refugees from World Food Program reporting to USAID, validated by spot checks by USAID, 2001. |
| USAID Objective 6: Humanitarian assistance following natural or other disasters |   |   |         |   |  |   |
| 26  | Did your program achieve a significant result in the past year that is likely to contribute to this objective?                              | Yes<br>X  | No      | N/A   |  | Significant result was keeping several hundred thousand drought-affected persons alive and providing sustenance to several million more in CY 2001. Ref. Item 27 below for data quality assessment.   |
| 27  | Number of beneficiaries   | 736,000 Title II development and emergency; 6.2 million persons drought-affected. |         |   | P.L.480<br>Title II,<br>OFDA, DA,<br>CSD | Development and emergency beneficiaries form Title II Cooperating Sponsors' reports, 2001, reliable, with some double counting between Title II emergency and drought-affected beneficiaries. Drought-affected beneficiaries based on Government estimates.   |

**Table 2: Selected Performance Measures for Other Reporting Purposes**

The information in this table will be used to provide data for standard USAID reporting requirements

| Indicator (all data should pertain to FY or CY 01)  |  | OU Response                         |             |            | Fund Account | Data Quality Factors  |
|---|--|-------------------------------------|-------------|------------|--------------|---|
| Child Survival Report   |  |                                     |             |            |              |   |
| Global Health Objective 1: Reducing the number of unintended pregnancies  |  |                                     |             |            |              |   |
| 1   | Percentage of in-union women age 15-49 using, or whose partner is using, a modern method of contraception at the time of the survey. (DHS/RHS)                               | 6.3 national, 38% USAID focus areas |             |            | CDS          | National level data from DHS, 2000 (available in 2001), reliable. USAID focus area data from "Rapid Assessment of Partner Projects," September 2001, Pathfinder International/Ethiopia. Report was peer-reviewed by Family Health International and Global Health Pillar POLICY Project and is considered valid.                      |
| Global Health Objective 2: Reducing infant and child mortality  |  |                                     |             |            |              |   |
| 2   | Percentage of children age 12 months or less who have received their third dose of DPT (DHS/RHS)   | Male 22.4                           | Female 18.9 | Total 20.7 | CSD          | National level data from DHS, 2000 (available in 2001), reliable.   |
| 3   | Percentage of children age 6-59 months who had a case of diarrhea in the last two weeks and received ORT (DHS/RHS)   | Male 43.3                           | Female 46.6 | Total 44.9 | CSD          | National level data from DHS, 2000 (available in 2001), reliable.   |
| 4   | Percentage of children age 6-59 months receiving a vitamin A supplement during the last six months (DHS/RHS)   | Male 55.8                           | Female 55.8 | Total 55.8 | CSD          | National level data from DHS, 2000 (available in 2001), reliable.   |
| 5   | Were there any confirmed cases of wild-strain polio transmission in your country?  | Yes - 1 in CY 2001                  |             |            | CSD          | Significant results in polio vaccination coverage and monitoring based on national level polio data from WHO report for 2001. reliable.   |
| Global Health Objective 3: Reducing deaths and adverse health outcomes to women as a result of pregnancy and childbirth |  |                                     |             |            |              |   |
| 6   | Percentage of births attended by medically-trained personnel (DHS/RHS)   | 9.7                                 |             |            | CSD          | National level data from DHS, 2000 (available in 2001), reliable.   |
| Global Health Objective 5: Reducing the threat of infectious diseases of major public health importance                 |  |                                     |             |            |              |   |
| 7   | a. Number of insecticide impregnated bed-nets sold (Malaria) (2001 actual)<br>b. Number of insecticide impregnated bed-nets sold (Malaria) (2002 target)                     | N/A<br>N/A                          |             |            |              |   |
| 8   | a. Proportion of districts implementing the DOTS Tuberculosis strategy (2001 actual)<br>b. Proportion of districts implementing the DOTS Tuberculosis strategy (2002 target) | 91.40%<br>91.40%                    |             |            |              | Data from Ministry of Health, reliable, although sub-district coverage varies considerably. USAID assistance to tuberculosis (TB) campaign will commence in FY 2002.<br>USAID will focus on improving sub-district coverage through laboratory strengthening and capacity building rather than expanding to new districts in FY 2002. |



| HIV/AIDS Report   |   |                |                 |                 |  |   |
|---|---|----------------|-----------------|-----------------|--|---|
| Global Health Objective 4: Reducing the HIV transmission rate and the impact of HIV/AIDS pandemic in developing countries |   |                |                 |                 |  |   |
| 9   | a. Total condom sales (2001 actual)   | 53,636,181     |                 |                 |  | Data for USAID target areas, from Pathfinder and DKT International, data quality issues related to small NGO partners' reporting being addressed.                                     |
|   | b. Total condom sales (2002 target)   | 55,500,000     |                 |                 |  |   |
| 10  | a. Number of individuals treated in STI programs (2001 actual)                            | Male           | Female          | 5,207           |  | Data for USAID focus areas, Pathfinder International Annual Report, reliable.   |
|   | b. Number of individuals treated in STI programs (2002 target)                            |                |                 | 7,000           |  | Target from Pathfinder International FY 2002 annual plan for USAID focus areas.   |
| 11  | a. Is your operating unit supporting an MTCT program?                                     | No             |                 |                 |  | Until Ethiopia establishes protocols for MTCT, USAID will not engage in this sector. These protocols are only in draft form and will take some time to be ratified by the Ministry of |
|   | b. Will your operating unit start an MTCT program in 2002?                                | No             |                 |                 |  | See above.  |
| 12  | a. Number of individuals reached by community and home based care programs (2001 actual)  | Male           | Female          | Total           |  | Target from Family Health International FY 2002 annual plan for USAID focus areas.  |
|   | b. Number of individuals reached by community and home based care programs (2002 target)  |                |                 | 500             |  |   |
| 13  | a. Number of orphans and vulnerable children reached (2001 actual)                        | Male<br>11,397 | Female<br>9,683 | Total<br>21,080 |  | Pact, Inc. Annual Report, USAID-financed focus areas, reliable.   |
|   | b. Number of orphans and vulnerable children reached (2002 target)                        |                |                 | 22,000          |  | Agreement completion date of September 2002 and possible change of implementing partners expected to result in no growth of coverage in FY 2002.                                      |
| 14  | a. Number of individuals reached by antiretroviral (ARV) treatment programs (2001 actual) | Male           | Female          | Total<br>N/A    |  |   |
|   | b. Number of individuals reached by antiretroviral (ARV) treatment programs (2002 target) |                |                 | N/A             |  |   |

| Victims of Torture Report   |  |      |        |       |  |
|---|--|------|--------|-------|--|
| Democracy, Conflict, and Humanitarian Assistance Objective 7: Providing support to victims of torture |  |      |        |       |  |
| 15  | Did you provide support to torture survivors this year, even as part of a larger effort? | N/A  |        |       |  |
| 16  | Number of beneficiaries (adults age 15 and over)   | Male | Female | Total |  |
| 17  | Number of beneficiaries (children under age 15)  | Male | Female | Total |  |

| Global Climate Change                            |   |     |  |  |
|--|---|-----|--|--|
| USAID Objective 5: World's environment protected |   |     |  |  |
| 18   | Global Climate Change: See GCC Appendix | N/A |  |  |

## **Part VII: USAID/Ethiopia FY 2001 Environmental Compliance: Status & Plans**

### **Component 1: Plan for new or amended Initial Environmental Examination (IEE) or Environmental Assessment (EA) actions for coming year.**

**New:** Planned Reg 216 actions are listed in FY 2002 column in the Table below. USAID/W approved the Mission's Integrated Strategic Plan for the period 2001-2006, which led to a set of 20 new or amended IEEs in FY 2001 (see below).

The Mission is currently reviewing two ES/RFs submitted by Pact, Inc. for activities falling under Category II in the Chereti Household Food Security Project and Awassa HIV/AIDS project. The ES/RFs will be submitted to the REDSO Regional Environmental Officer (REO) in March 2002 for clearance.

REST has submitted a request for an IEE amendment due to extension of its program, which was supposed to end in September 2001, by one year. The Mission is currently working on the review of the amended IEE for submission to the REO and the Africa Bureau Environmental Officer (BEO) in March 2002 for ultimate clearance and final approval, respectively.

Cooperating Sponsors (CSs) have submitted their proposals for DA funding, and they are currently being reviewed. Once our internal review is completed CSs will submit IEEs for those projects approved by the Mission in late March. CSs are also currently engaged in the preparation of proposals for the next cycle DAP (February 28 deadline) and we expect IEEs to be submitted together with the DAP proposals. After reviewing the CS IEEs for both DA funded and DAP activities, the Mission will submit them to the respective BEOs in Africa and the Democracy, Conflict and Humanitarian Assistance (DCHA) Bureaus in April 2002.

One new IEE will be required from the Tigray Development Association for the internally displaced program under BESO II – SO 9, because it includes DA funds.

The Mission is also designing a pilot Relief-to-Development activity combining Title II support with development assistance funding under the RHPP SO 7, and expects to submit an IEE for this activity to the respective BEOs in May 2002.

**Component 2: Compliance with previously approved IEEs or EAs.** All Mission activities are presently in compliance with their approved IEEs, as reflected in the FY 2001, FY 2002, and Comments columns below. Based on USAID/W approval of the Mission's Integrated Strategic Plan for the period 2001-2006, the Mission submitted to, and received approval from, the AFR BEO for five SO-level IEEs (ESHE II - SO 8, BESO II - SO 9, DG - SO 10, STI - SpO 12,

and RHPP – SO 7); and four independent Internally Displaced Person (IDP) Activity IEEs. In addition, one SO-level IEE (MED - SO 11) was approved by both the DCHA BEO and the AFR BEO because it contains both Title II and DA funding. This IEE also effectively amended all existing Title II partner IEE's to include Mission approval authority for road construction and small-scale irrigation activities less than 50 hectares in size.

STI SpO 12 IEEs for the Save the Children – U.S. (SCF/US) Title II Animal Health Care activity, a new Pastoralist Education activity, and Community Capacity Building activities were also approved by AFR BEO in July 2001.

***Title II IEE status:***

World Vision International (WVI) and Food for the Hungry International (FHI), whose original Title II IEEs were approved on 27 August 1998 and 27 July 1998, respectively, submitted IEE amendments to include the implementation of small-scale irrigation activities deferred in the original IEEs. The BHR BEO approved these amended IEEs on 23 April 2001 and 4 December 2001.

The original Title II SCF/US IEE was approved in May 1998. SCF/US planned to submit an amendment to the IEE last year to include full-scale brush clearing activities based on pilot research activities. This IEE amendment was submitted on February 4, 2002 and the Mission, in consultation with the REO, is currently reviewing the document.

We expect to forward it to the DCHA BEO for approval in April 2002.

The original Title II Africare IEE was approved in August 3, 1998. Africare submitted an ES/RF on February 1, 2002 to include road construction activities in the Gambella National Regional State, and the Mission is currently reviewing the ES/RF for approval.

The original RHPP SO [now SO 7] (IEE 29ethop2.iew) was approved on 9/23/99, allowing for the development of results packages under the five IRs. Four sector assessments were conducted and a SOAG signed between USAID/Ethiopia and the Government of Ethiopia on August 13, 2001. An SO level umbrella IEE was developed and approved by the AFR BEO, following co-drafting and clearance from the REDSO REO, on August 13, 2001.

It should also be noted that the Mission sponsored the 20<sup>th</sup> Regional Environmental Assessment and Management workshop (a refresher course, following up on the February 1997 ENCAP workshop) in Nazareth, Ethiopia from February 18-22, 2002 to update and expand local partner capacity to apply environmentally sound design principles to IEE and EIA preparation. Tellus Institute did course preplanning in October 2001 with financial support under ENCAP. REDSO's REO was a trainer. A total of 37 participants attended, mainly from Title II partner PVOs and NGOs, as well as regional government offices,

Addis Ababa University, the Ethiopian Environmental Protection Authority, and other USAID missions in Africa participated in the training.

In addition, as part of its efforts to enhance the environmental assessment and planning capacity in Ethiopia, the Mission is providing support for the Ethiopian State of Environmental Reporting Activity. This is being implemented by the Ethiopian Environmental Protection Authority (EPA) and the report, the first of its kind for Ethiopia, is expected to be completed by the end of December 2002.

Also, a series of activities is planned to promote Sectoral Best Practice & Environmentally Sound Design for USAID/Ethiopia SO 7 and SO 11 partners, which will include familiarization of partners on the findings and recommendations of the USAID/Ethiopia Water and Sanitation (WATSAN) Study and the development of the USAID/Ethiopia WATSAN Procedural Checklist, Programmatic Environmental Assessments of Road Building, Watershed Management and Bush Clearing in Ethiopia, including respective workshops on the findings.

### USAID/Ethiopia FY 2001-02 Environmental Review Status & Plans

| ASSISTANCE ACTIVITIES   | FY 2001 and previous   | FY 2002   | Comments  |
|---|--|---|---|
| Design of new ISP   |  | Environmental Analysis per ADS 201.3.4.11 b planned launch 4 <sup>th</sup> Q FY 2002  |   |
| <b>SO 7: Increased availability of selected domestically produced food grains [RHPP SO (incorporates previous SO1)]</b>     |  |   |   |
| 663-0005 Development of Competitive Markets. Project LOP FY 2000. 28ethiop2.iew   | \$1,600,000 was programmed for the National Agricultural Census and are covered under existing IEE.  | Ongoing activities and unspent funds were incorporated by reference into the RHPP SOAG 663-007 to support SO implementation.  | The National Agricultural Census activity is an integral part of the RHPP SO IR 1.  |
| 663-0019 Resources for Development of Agriculture – Umbrella. LOP 06  |  | Ongoing activities and unspent funds were incorporated by reference into the RHPP SOAG 663-007 to support SO implementation.  |   |
| * WINROCK EMPOWER Cooperative Agreement. IEE approved 5/97. LOP 03  | Proposed use of pesticides dropped. PACD was extended to 12/31/2003.   | No new actions.   | Monitoring of all activities will continue.   |
| * VOCA Agricultural Retailers Training Cooperative Agreement. IEE approved 9/96. LOP 02                                     | Activity extended 3 yrs. IEE reviewed and BEO approved recommendation that no IEE amendment was required since activities remain the same and IEE findings are being implemented.                                      | condition: Safer Pesticide Handling and Use training being carried out?   | Monitoring of all activities will continue.   |
| * VOCA Agricultural Cooperatives in Ethiopia Cooperative Agreement. IEE approved 5/99. LOP 04                               |  | Mission plans to increase funding to include an HIV/AIDS activity. Therefore, VOCA will submit an IEE amendment on April 2002.  |   |
| Pilot Relief to Development (R2D) Activity  |  | By 3 <sup>rd</sup> Q FT 02, an IEE for this activity will be prepared as part of activity design, and submitted for both DCHA BEO and AFR BEO approval.   | Combines Title II food aid and RHPP SO DA to mitigate drought and address the root causes of food insecurity in two pilot <i>woredas</i> (Sekota and Gubalafto).  |
| 663-007 Rural Household Production and Productivity Increased Strategic Objective (RHPP SO). 29ethop2.iew. LOP 06           | All assessments and activity design completed, and SOAG signed 13 August 01. Umbrella IEE 31 Ethiopia13 RHPP (SO7) submitted to and approved by the AFR BEO on 13 August 2001 for 5 IR-level activities under this SO. | Individual IEEs for Title II Cooperating Sponsor DA-funded activities will be submitted to the DCHA BEO for approval (optional AFR BEO clearance).  | Monitoring of all activities will continue.   |
| <b>SO 8: Increased Use of Primary and Preventive Health Care Services [ESHE II (incorporates previous SO 2)]</b>            |  |   |   |
| 663-0016/17 ESHE II. 2001 amended IEE date: May 16,2001 replaces LOP: 02  | SO IEE 31 Ethiopia10 ESHE II (CEs and Neg. Determinations) cleared by REO on 27 April 2001 and approved by AFR BEO on 16 May 2001.   | An IEE amendment will be on April 2002 for cross border AIDS surveillance activities implemented by the Center for Disease Control (CDC).   | Activity will take place in the Djibouti Corridor.  |
| <b>SO 9: Quality and Equity Improved in and Expanded System of Primary Education [BESO II (incorporates previous SO 3)]</b> |  |   |   |
| 663-0014 BESO II. Amended IEE 4/01supercedes original IEE 4/95. LOP 01  | SO IEE 31hiopia8 BESO (CEs and Neg. Determinations) cleared by REO on 23 April 2001 and approved by AFR BEO on 26 April 2001   | TDA was given \$200k for rehabilitation on war-damaged schools in Tigray. Conditions will be placed on activities near potentially mined areas and covered in a new IDP-like IEE to be expected by the BEO in March 01. | An environmental screening process will be instituted for World Learning Incorporated (WLI) and Regional Incentive Fund (RIF) programs to ensure compliance on important activities that might deviate from |

| <b>ASSISTANCE ACTIVITIES</b> | <b>FY 2001 and previous</b> | <b>FY 2002</b>   | <b>Comments</b>   |
|------------------------------|-----------------------------|--|-------------------|
| Design of new ISP            |                             | Environmental Analysis per ADS 201.3.4.11 b planned launch 4 <sup>th</sup> Q FY 2002 |                   |
|                              |                             | by the BEO in March 01.  | the approved IEE. |

| <b>ASSISTANCE ACTIVITIES</b>   | <b>FY 2001 and previous</b>  | <b>FY 2002</b>  | <b>Comments</b> |
|--|--|---|-----------------|
| <b>SO 10: Increased Access to and Participation in a Democratic Society [DG (incorporates previous SO 4)]</b>                                    |  |   |                 |
| 663-0020-G-00-5501 Ethiopian NGO Sector Enhancement Initiative (Grant to PACT). Original IEE 5/95 (22ethop4.iee) amended (28.ethop1.iee). LOP 03 | CE for TA, training, education, institutional strengthening, regional communications, info. exchange activities per 31 Ethiopia6 DGSO, April 26,2001. NDWC for community development activities and (small activity grants) SAGs. IEE amended in 1998 to include environmental screening process for SAG component. PACT ERF to include Small Scale Irrigation (SSI), livestock vaccination and HIV/AIDS activities is under review. | Mission will submit the ES/RFs to the REO in March 2002 for additional clearance.<br><br>No activity changes, which would require IEE review, amendment or have impact on the environment, are anticipated. |                 |
| 663-0007 Democracy and Governance Support Project. Original IEE 3/92   | IEE approved CE for entire project.  | No activity changes which would require IEE review, amendment or have impact on the environment are anticipated.  |                 |

|   |   |   |   |
|---|---|---|---|
| <b>SO 11: Enhanced Household Food Security in Target Areas [MED SO (incorporates previous SpO 1)]</b> |   |   |   |
| 663-0021 SERA project. LOP 9/00   | CE for TA, training, studies was approved 6/97. | The workshop on potable water activities was planned for August 2001 based on the recommendations of the March 2000 water and sanitation study. The workshop objective was to agree with CSs on a procedural checklist for acceptable Water Supply and Sanitation (WSS) activities, including reporting requirements. The workshop was postponed due to an emergency health problem for the Team Leader, and is expected to be held in August 2002. | ENCAP workshop for Title II partners held for 40 participants in February 2002. |

| ASSISTANCE ACTIVITIES  | FY 2001 and previous  | FY 2002   | Comments  |
|--|---|---|---|
| Title II Development Program   | IEEs approved for all 8 CSs (REST, FHI, CRS, CARE, SCF-US, WV, EOC and Africare) in FY 1998. All CSs have submitted FY 2002 ESRs, which were approved.  | All CSs will submit separate ESRs and analyses for road construction prior to beginning new activities. A PEA may be called for.<br><br>The review and approval of SCF/US request for amended IEE for FY 2002 bush clearing activity will be finalized in April 2002<br><br>All FY 2002 IEE amendments, IEEs for the next cycle DAP, or new DA fund activities will be forwarded to the DCHA BEA and AFR BEO in April 2002. | REO assistance is needed in March/April 2002 to help review the IEEs for the new Title and DA proposals; and to undertake field and desk level review and clearance for the SCF/US bush clearing activity.<br><br>Africare submitted an ES/RF on 1 February 2002 to include road construction activities. The Mission is currently reviewing the ES/RF for approval.<br><br>REST will complete and submit ES/RFs for road sections to be constructed in CY 2001 in March 2002.<br><br>Monitoring of all activities will continue. |
| Internally Displaced Persons (IDPs)  | 18-month duration DA funded activities implemented by REST, CRS, VOCA and COOPI. Four IEEs approved by REO and BEO in March/April 2001, e.g. <u>31 Ethiopia VOCA MED SO IDP, 4/6/01</u> & <u>31 Ethiopia TPWRP MED SO IDP, 4/4/01</u> . | No new actions anticipated.<br><br>Mission expects receiving reports on the status of ND/w condition and Deferrals on April 2002.   | Monitoring of all activities will continue.   |
| <b>Spo 12: Improved livelihoods for pastoralists and agro-pastoralists in southern Ethiopia [BESO II (incorporates previous SO 3)]</b> |   |   |   |
| SO-level IEE approved 2001   | STI SpO IEE April 26, 2001; 31 Ethiopia7STISpO; CE & ND   |   |   |
| Animal Health Care (SCF/US)  | Previously funded under Title II. IEE approved by AFR BEO on July 2,2001; 31 Ethiopia11SpO12 Animal Health; CE, ND & Deferral   | To be continued w/ DA funding.  | Monitoring of all activities will continue.   |
| Pastoralist Education. (SCF/US)  | New activity. IEE approved by AFR BEO on July 5,2001; 31 Ethiopia9 SCF Pastoralist. iee; CE & ND/w condition  | Funded through EDDI   | Monitoring of all activities will continue.   |
| Community Capacity Building (SCF/US)   | Previous Conflict Resolution IEE approved by AFR BEO on July 2,2001, superceded 23 JAN 92 ADDIS 00367 covering DG program   |   | Monitoring of all activities will continue.   |
| Animal Health Care Assessment  |   |   | Monitoring of all activities will continue  |
| Livestock Marketing/Coop. Development  | Covered under STI SpO 12 IEE April 26, 2001; 31 Ethiopia7STISpO; and VOCA IEE 27ethop3. iee   |   | Monitoring of all activities will continue  |



**ANNEX**  
**USAID ETHIOPIA RESULTS FRAMEWORKS**

**THE OLD SOs**

**SO1: INCREASED AVAILABILITY OF SELECTED DOMESTICALLY PRODUCED FOOD GRAIN CROPS**

- IR1- Integration of food, livestock, and factor markets increased
- IR2- Competition in Agricultural input and output markets increased
- IR3- Rural household cash crop and micro-enterprise income
- IR4- Food and Agricultural Research Systems in target areas strengthened
- IR5- Extension Service Dissemination of Technology Information in Target Areas Improved
- STI SpO- IR1 Pastoralist and agro-pastoralist incomes increased

**SO2: INCREASED USE OF PRIMARY AND PREVENTIVE HEALTH CARE SERVICES (ESHE I)**

- IR1- Increased resources dedicated to health, particularly primary and preventive health care services (PPHC)
  - Sub IR 1.1: Increased government budget allocation to health [and PPHC]
  - Sub IR 1.2: Increased proportion of public health expenditure covered through cost recovery and retention within the sector
  - Sub IR 1.3: Increased Capacity for resource management at central and regional level
  - Sub IR 1.4: Increased private (NGO & for profit) sector investment in PPHC service delivery
- IR2- Increased Access to and Demand for Modern Contraceptives in Focus Areas
  - Sub IR 2.1: Increased availability of family planning services supported through COFAP/Pathfinder
  - Sub IR 2.2: Expanded condom and OC social marketing
  - Sub IR 2.3: increased knowledge of modern contraception among reproductive age women
  - Sub IR 2.4: Increased government capacity to deliver modern FP services
- IR3 –Enhanced Capacity of Ethiopian Society to Expand Access and Use of STI/HIV/AIDS Services in Response to the Epidemic
  - Sub IR 3.1: Technically correct national STI/HIV/AIDS policies and strategies developed and implemented
  - Sub IR 3.2: Increased capacity, access to and use of the public and private sectors for delivery of quality STI/HIV/AIDS services
  - Sub IR 3.3: Increased SNNPR community involvement in the STI/HIV/AIDS prevention and mitigation
  - Sub IR 3.4: Increased number of STI/HIV/AIDS services focussed on the youth aged 10-24, especially on young females
- IR4- Increased Use of Integrated Rural PPHC services in SNNPR
  - Sub IR 4.1: Regional Government's capacity for service delivery enhanced
  - Sub IR 4.2: Improved availability and quality of services in health facilities

Sub IR 4.3: Community health services revitalized

**SO3: QUALITY AND EQUITY IMPROVED IN AN EXPANDED SYSTEM OF PRIMARY EDUCATION (BESO I)**

- IR1: Improved quality and equity of primary school environment in CSGP- assisted schools
  - Sub IR1.1: Increased community involvement in primary education
  - Sub IR1.2: Improved school leadership and management
  - Sub IR1.3: Increased number of females in leadership positions.
- IR2: Increase in the pedagogical effectiveness of content and the quantity of educational materials available
  - Sub IR2.1: Improved technical capacity of regions to develop curriculum, education materials and mass media programs
  - Sub IR2.2: Established institutional mechanism and technical capacity to promote and evaluate the cost-effectiveness of quality services.
- IR3: Improved performance and equity of teacher training graduates
  - Sub IR3.1: Better qualified entrants into teacher pre-service training recruited
  - Sub IR3.2: Increased # of females entering and completing pre-service teacher training
  - Sub IR3.3: Improved quality of pre-service teacher training instruction programs
- IR4: Improved Decentralized Management & Administration of Primary Education
  - Sub IR4.1: Strengthened institutional capacity of educational planning
- IR5: Increased and more rational and efficient sectoral financing
  - Sub IR5.1: Increased availability of non-salary resources for primary education
  - Sub IR5.2: Reduced burden on public sector financing of education
  - Sub IR5.3: More cost-effective and efficient use of resources within the education sector

**SO4: INCREASED ACCESS TO AND PARTICIPATION IN A DEMOCRATIC SYSTEM.**

- IR1- Effective and Participatory Decentralization
- IR2- Strengthened Judicial System
- IR3- Organized Societal Participation to Advance Community Interests Increased

**SO5: ENHANCED HOUSEHOLD FOOD SECURITY IN TARGET AREAS**

- IR1- Increased Agricultural Production
- IR2- Increased Household Income
- IR3- Improved Health Status in Target Areas
- IR4- Natural Resource Base Maintained
- IR5- Emergency Response Capacity Maintained

## **THE NEW SOs**

### **SO 7: RURAL HOUSEHOLD PRODUCTION AND PRODUCTIVITY INCREASED, RHPP**

- IR1 – Integration of food, livestock and factor markets increased
- IR2 – Competition in agricultural and output markets increased
- IR3 – Rural household cash income increased/diversified
- IR4 – Food, agriculture and environmental research systems in target areas strengthened
- IR5– Dissemination of food, agriculture and environmental technology information in target areas improved

### **SO 8: FAMILY HEALTH IMPROVED, ESHE-II**

- IR1 – Increased use of high impact child survival interventions, including nutrition
- IR2 – Increased use high impact reproductive health interventions, including maternal nutrition in focus regions and target areas nationwide
- IR3 – Reduced impact of HIV/AIDS and tuberculosis
- IR4 – Increased health sector resources and improved systems in focus regions

### **SO 9: QUALITY AND EQUITY IN PRIMARY EDUCATION SYSTEM ENHANCED, BESO II**

- IR1 – Quality of professional education personnel enhanced.
- IR2 – Teacher-learner support systems strengthened.
- IR3 – Community-government partnerships in education strengthened.
- IR4 – Systems for managing personnel, instructional materials, and monitoring and evaluation strengthened and used

### **SO 10: MORE EFFECTIVE GOVERNANCE AND CIVIL SOCIETY DEVELOPED, DG**

- IR1 – Civil society participation increased.
- IR2 – Judiciary and respect for human rights strengthened.
- IR3 – Public financial resources used more effectively.

### **SO 11: MITIGATE THE EFFECTS OF DISASTER, MED**

- IR1 – Increased adoption of disaster Preparedness measures.
- IR2 – Targeted, timely and appropriate disaster response.
- IR3 – Socio-economic institutions in war effected areas strengthened.
- IR4 – Transitional programs to recovery and rehabilitation promoted.\***

### **SpO 12: IMPROVED LIVELIHOODS FOR PASTORALISTS AND AGRO-PASTORALISTS IN SOUTHERN ETHIOPIA, STI**

- IR1 – Pastoralist and agro-pastoralist incomes increased
- IR2 – Increased use of maternal health and child survival and nutrition interventions
- IR3 – Access to appropriate basic education increased
- IR4 – Effectiveness of traditional dispute resolution mechanisms enhanced

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\* Additional SO 11 Intermediate Results under consideration.